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# United States Senate

COMMITTEE ON  
HOMELAND SECURITY AND GOVERNMENTAL AFFAIRS  
WASHINGTON, DC 20510-6250

September 28, 2005

Admiral Thomas H. Collins  
Commandant  
United States Coast Guard  
2100 Second Street, SW  
Washington, DC 20589

Dear Admiral Collins:

Pursuant to its authority under Rule XXV(k)(1) of the Standing Rules of the Senate, Section 101 of S. Res 445 (108th Congress), and Section 11(e) of S. Res 50 (109th Congress), the Committee on Homeland Security and Governmental Affairs has initiated an investigation into the Nation's preparedness for and response to Hurricane Katrina. To aid in this investigation, we request that the Coast Guard provide the committee (pursuant to the attached instructions and definitions) the following documents and information:

- (1) Describe each of the Coast Guard's roles, responsibilities and authorities in providing emergency support functions under the National Response Plan. With respect to each specific role, responsibility or authority, please identify:
  - (a) The statutory, regulatory or other source for that role, responsibility or authority;
  - (b) The component or components within the Coast Guard involved in acting pursuant to that authority or discharging that role and responsibility as they relate to Katrina;
  - (c) The key personnel involved in acting pursuant to that authority or discharging that role and responsibility as they relate to Katrina;
  - (d) With respect to each authority, role or responsibility identified above, describe how the authority was utilized or the role or responsibility was discharged in preparation for and response to Hurricane Katrina. Please be specific as to the personnel involved and the dates activities occurred.

To the extent that the sources identified in response to subpart (a) are not publicly available, please provide copies of them.

- (2) To the extent not provided in response to the previous question, please describe any other roles, responsibilities and authorities of the Coast Guard in preparing for and responding to a

domestic emergency. With respect to each specific role, responsibility or authority, please identify:

- (a) The statutory, regulatory or other source for that role, responsibility or authority;
- (b) The component or components within the Department involved in acting pursuant to that authority or discharging that role and responsibility;
- (c) The key personnel involved in acting pursuant to that authority or discharging that role and responsibility;

To the extent that the sources identified in response to subpart (a) are not publicly available, please provide copies of them.

(3) Describe the Coast Guard's role and authority for search and rescue generally, as well as specifically in response to Katrina. Please indicate:

- (a) Whether the Coast Guard is the lead entity for any and all search and rescue missions;
- (b) Whether search and rescue missions carried out by any other Department, Agency, or other entity have to be coordinated with, or reported to, the Coast Guard;
- (c) If the Coast Guard becomes the on-scene commander for any and all assets used for search and rescue missions including, but not limited to, Department of Defense assets;
- (d) Provide all documents related to the policy, planning, and guidance of Search and Rescue missions in which the Coast Guard plays either a lead or a subsidiary role. Describe the standing authority and command structure under the National Search and Rescue Plan regarding maritime Search and Rescue (SAR) missions on the coast of Louisiana, Mississippi, and Alabama in non-emergency or disaster situations. What is the standard procedure by which the Coast Guard requests assistance from other agencies, such as the Department of Defense, with SAR missions? Describe the SAR command structure during a mission once other agencies have provided assistance;
- (e) Under Stafford Act situations (declarations of emergency and disaster), does the Coast Guard's command structure for maritime SAR change, and does its procedure for requesting assistance from other agencies change? If so, describe these changes;
- (f) How is Maritime SAR defined, as opposed to Overland SAR? How do the command structures and authorities differ between the two types, and how is authority shared when a mission may involve both types? Explain any difference between standing procedures

and situations under Stafford Act situations; and

(g) Describe the SAR command structure which was implemented during the post-Katrina recovery efforts. Identify the individuals occupying the various roles within the command structure. Describe the relationships between Coast Guard SAR authorities and other agencies involved in SAR efforts whose assistance had been requested by the Coast Guard. If agencies were involved in SAR without having been requested by the Coast Guard, describe those relationships as well.

(4) Provide an organizational chart of the Coast Guard and any of its components involved in emergency preparedness or response related to preparing for and responding to Katrina. Identify by name, title and responsibilities all Coast Guard personnel with significant responsibility for emergency preparedness and response.

(5) To the extent that agency regulations, protocols, practices or procedures provide for one, describe the command structure the agency is supposed to utilize or establish to respond to a national emergency. Please include both headquarters and field offices in your description.

(6) Describe the assets available to the Coast Guard to fulfill the roles or responsibilities cited in response to item (1) with respect to Katrina and the location of those assets.

(7) Identify the element(s) or office(s) within the Coast Guard that is responsible for monitoring the status of hurricane warnings and other threats and informing the Department/agency of such impending threats. Please identify key individuals within that element or office.

(8) Detail how and when the Coast Guard was first informed of the following events. Please be specific as to dates, times and personnel involved.

- (a) that it would have to take action to prepare for or respond to Katrina;
- (b) that the President issued emergency declarations for Louisiana, Mississippi and Alabama with respect to Katrina;
- (c) that the President issued major disaster declarations for Louisiana, Mississippi and Alabama with respect to Katrina;
- (d) that Katrina was an Incident of National Significance;
- (e) that the National Response Plan was being activated; and
- (f) that any annex or supplement to the National Response Plan was being activated.

(9) Describe the command structure the agency actually utilized or established to respond to Katrina. Please include both headquarters and field offices in your description, and identify key personnel at each level of the command structure. Please note whether the structure or personnel changed during the course of the Coast Guard's response.

(10) Identify any standing or regular conference calls or meetings in which the Coast Guard participated during its preparation for and response to Katrina. Describe the purpose of the call or meeting, and identify all regular participants, including the names, titles and employers of each one. Please provide copies of any notes, summaries, transcripts, videos or other recordings of all such calls or meetings.

(11) Describe all actions the Coast Guard took to pre-position or pre-deploy Coast Guard assets and the specific authority under which the Coast Guard took each such action. Please be specific with respect to the dates the actions occurred, the personnel and components involved, the location of the pre-positioning or pre-deployment and the assets involved.

(12) Identify and describe each request for assistance received by the Coast Guard or assistance independently provided by the Coast Guard related to Hurricane Katrina continuing through September 6, 2005. For each request, please specify:

- (a) the date and time it was received;
- (b) who received it;
- (c) who lodged the request;
- (d) the assistance requested;
- (e) the Department/agency's response to the request;
- (f) whether questions regarding reimbursement arose and, if they did, reimbursement issues in any way delayed or affected the response;
- (g) the date and time orders were issued to fulfill the request;
- (h) the entity within the Coast Guard tasked to provide the assistance;
- (i) the key personnel involved in processing and responding to the request; and
- (j) the date and time the requested assistance was actually provided.

Please provide copies of the documentation making such requests and all communications related thereto between the Coast Guard and the requesting entity, within the Coast Guard, between the

Coast Guard and any other officer or personnel of the Executive Branch, or between the Coast Guard and any entity supporting the Coast Guard in this activity including, but not limited to, governmental agencies and contractors. Also provide all records or logs of such communications.

(13) Identify and describe each request for assistance initiated by the Coast Guard related to Hurricane Katrina continuing through September 6, 2005. For each request, please specify:

- (a) the date and time it was made;
- (b) who lodged the request and to whom it was made;
- (c) the assistance requested;
- (d) the response to the request;
- (e) the date and time orders were issued to fulfill the request;
- (f) whether questions regarding reimbursement arose and, if they did, reimbursement issues in any way delayed or affected the response;
- (g) the entity within the Department and key personnel involved in making the request; and, if known, responding to the request; and
- (h) and the date and time the requested assistance was actually provided.

Please provide copies of the documentation making such requests and all communications related thereto between the Coast Guard and the receiving entity, within the Coast Guard, between the Coast Guard and any other officer or personnel of the Executive Branch, or between the Coast Guard and any entity supporting the Coast Guard in this activity including, but not limited to, governmental agencies and contractors. Also provide all records or logs of such communications.

(14) Describe all incidents during the Coast Guard's preparation for or response to Katrina that any officials or personnel of the US Government expressed concern about whether the Coast Guard had the authority it needed to take an action it either wanted to take or was asked to take. Please be specific as to:

- (a) the action in question;
- (b) the nature of the concern;
- (c) who questioned raised the concern;

- (d) who was involved in addressing the concern;
- (e) when the concern was raised and when it was involved;
- (f) the manner in which the concern was resolved;
- (g) whether the action ultimately occurred; and
- (h) whether the action was delayed or limited as a result of the concern.

(15) Provide a list of flights conducted by the Coast Guard between August 29, 2005 and September 2, 2005 over city of New Orleans for the purpose of evaluating the status of the city or the levees. For each such flight, please specify:

- (a) whether the flight was initiated by the Coast Guard or requested by another Department, agency or government;
- (b) if the flight was requested by another Department, agency or government, who requested the flight, and on behalf of which Department, agency or government;
- (c) if non-Coast Guard personnel were on the flight, and if so, who; and
- (d) whether any part of the city was filmed by any means during the flight, including but not limited to, video or pictures taken via hoist cameras.

Please provide copies of all pictures or video captured during any such flight.

(16) To the extent they were not already provided in response to an earlier question, please provide the following documents:

- (a) The hurricane or heavy weather plans and any documents related to such plans in effect between August 23, 2005, and September 6, 2005, for each Station, District, Sector, Cutter, Air Station, and unit affected by Hurricane Katrina, including, but not limited to: the 8th District, Sector New Orleans, Sector Mobile, the Atlantic Area, Air Station New Orleans, Aviation Training Center Mobile, and the Gulf Strike Team;
- (b) The New Orleans and Mobile Area Response Plans for fire, flood, natural disasters, and civil disturbances, and any documents related to these Area Response Plans;
- (c) All regulations, instructions, guidance, procedures, and policies related to the Coast Guard Continuity of Operations plans;
- (d) All Continuity of Operations Plans for the major organizational elements in the

Hurricane Katrina-related Area of Responsibility, including, but not limited to, Sectors, Groups, Marine Safety Offices, Air Stations, Strike Teams, and Cutters, and District 8;

(e) All National, Area, District, and local unit Incident Action Plans in support of any actions taken in preparation, planning, and response to Hurricane Katrina;

(f) All communications, instructions, and guidance from FEMA or from the Director of the Emergency preparedness and Response Office at the Department of Homeland Security to all Coast Guard National, Area, District, and local unit mission assignments related to Hurricane Katrina from August 24, 2005 to September 6.

(g) All documents related to policy, planning and guidance for the National, Area, District, and Air Station Search and Rescue missions related to Hurricane Katrina;

(h) All documents related to policy and planning for the National, Area, District, and Sector/Marine Safety Offices Pollution Response related to Hurricane Katrina;

(i) All documents that relate to the policy, planning and guidance for the National, Area, District, and local units regarding the evacuation of U.S. Coast Guard personnel family members for Hurricane Katrina;

(j) All documents related to the policy, planning and guidance for port re-openings for the National, Area, District and local units in the areas affected by Hurricane Katrina. These documents include, but are not limited to, emergency Aids to Navigation repairs, and salvage and removal of wrecks;

(k) All instructions, guidance, and policies for National, Area, District and local units in the area affected by Hurricane Katrina related to the implementation of the National Incident Management System as required by Homeland Security Presidential Directive 5 and the National Response Plan;

(l) All plans, diagrams, charts, and reports, including, but not limited to, a summary of the U.S. Coast Guard actions taken in response to the findings of the "Hurricane Pam" exercise, and After Action Reports related to the 2004 "Hurricane Pam" exercise;

(m) All communications related to Hurricane Katrina planning, evacuations, and operations, between the U.S. Coast Guard 8th District and Sector New Orleans, Sector Mobile, Air Station New Orleans, Aviation Training Center Mobile, the Gulf Strike Team, the Atlantic Area, and the U.S. Coast Guard headquarters;

(n) All communications, including situation reports and electronic mail messages, between U.S. Coast Guard Command and all Operations Centers, from August 24, 2005 to September 6, 2005, related to any Hurricane Katrina planning, operations and response;

- (o) The U.S. Coast Guard Air Operations manual;
- (p) The U.S. Coast Guard Search and Rescue Manual; and
- (q) All timelines, summaries, reports, presentations and written responses in response to Congressional inquiries related to Katrina produced by Coast Guard personnel in Sector New Orleans.

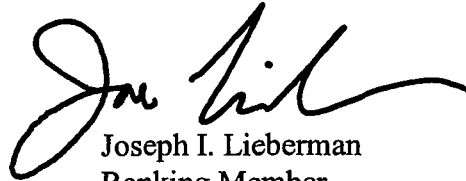
We request that these documents and information be provided as they become available but no later than October 27, 2005. If you or your staff have any questions concerning this request please contact Allison Boyd of the Committee's majority staff at 202-224-4751 or Jason Yanussi of the Committee's minority staff at 202-224-2627.

We thank you and your staff in advance for your cooperation.

Sincerely,



Susan M. Collins  
Chairman



Joseph I. Lieberman  
Ranking Member